

## 1.0 APPROVAL RECORD

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## 2.0 REVISION/REVIEW INFORMATION

The Ames Laboratory Vital Records Plan shall be updated when applicable changes to our program, laws or DOE requirements occur, or at a minimum of every three years. The revision description for this document is available from and maintained by the author.

## 3.0 PURPOSE AND SCOPE

The purpose of the Ames Laboratory Vital Records Plan is to provide a framework for the identification, protection and retrieval of vital records. This plan will be utilized by the Ames Laboratory's Records Management staff, Information Systems staff, record owners and the Emergency Management Team to ensure access to all Ames Laboratory records required for continuity of operations during and/or after an emergency event.

The Ames Laboratory Vital Records Plan ensures compliance with the requirements detailed in DOE O 243.2, *Vital Records* and is applicable to all Ames Laboratory employees involved in the creation, maintenance, duplication or use of records identified to be vital.

### 3.1 Definitions

- **Vital Records:** Records required to meet operational responsibilities or to protect the legal and financial rights of the Ames Laboratory and its employees during and/or after an emergency event.
- **Emergency Management Team (EMT):** Team composed of members from various departments involved with vital records and safety, including communications specialists, engineers, health physics technicians, senior environmental specialist, supervisor of plant services, managers of ESH&A, facility services and industrial hygiene, and the directors of public affairs and administrative services. This team will have specific duties to fulfill in the event of an emergency.
- **Records Holding Area (RHA):** Storage facility for all archived vital records in physical form.

- **Tier One Records:** Records essential to continuity of operations and/or reconstitution of the Ames Laboratory during or after an emergency. Included are a master personnel list, Emergency Operating Records (EOR) and the Continuity of Operations Plan (COOP).
- **Tier Two Records:** Records that are essential to protect the legal and financial rights of the Ames Laboratory and of the individuals directly affected by its activities. Included are Official Personnel Files (OPF), Employee Medical Records (EMR), Energy Employees Occupational Illness Compensation Program Act (EEOICPA) files, and payroll information.
- **Content Management:** Web-based IBM records storage system. Electronic records are stored here.
- **Versatile Enterprise System:** Database that contains inventory and location information for all Ames Laboratory records.

## 4.0 ROLES AND RESPONSIBILITIES

### 4.1 Records Management Staff

Records Management (RM) staff are responsible for designating all Tier One and Tier Two vital records. They also assist the EMT in maintaining EORs, and coordinate the storage and retrieval of all vital records.

### 4.2 Information Systems Staff

Information Systems (IS) staff are responsible for backing up all electronic systems that contain vital records or information regarding vital records.

In the event of an emergency, IS staff would be responsible for coordinating access to Tier One records on the laboratory's alternate server within the first two hours following the emergency. IS staff would also be required to coordinate the acquisition and operation of necessary hardware and software required to access vital records, and begin the process of restoring all records, regardless of media (hardcopy or electronic), as necessary to restore normal functioning.

### 4.3 Departmental Program Managers

Program/departmental managers are responsible for identifying any records that are necessary to restore operations for their program or department. A current list of staffing must be included in the list of records for each department. All program managers must keep an updated inventory of these records and ensure they are stored in a location where they will be retrievable in the event of an emergency.

### 4.4 Records Owners

Records owners will be responsible for the proper filing, storage, review, maintenance and disposal of active records they have created.

## **4.5 Emergency Management Team**

The Emergency Management Team is responsible for maintaining current versions of EORs.

## **5.0 PREREQUISITE ACTIONS AND REQUIREMENTS**

### **5.1 Records Holding Area**

All archived vital records will be stored in the Records Holding Area (RHA). This facility meets requirements set forth in DOE O 420.1B *Facility Safety*, DOE O 470.4 *Safeguards and Security Program* and complies with NARA 36 CFR 1228 regarding the protection of vital records. Access to this facility is restricted to Records Management staff and security personnel only.

### **5.2 Electronic Records Management Systems**

5.2.1 Content Management: The Content Management system is set up with multiple protective characteristics to ensure records stored within are protected, backed up, and always accessible.

5.2.2 Versatile Enterprise System: Fulfills DOE O 243.2 requirements as an inventory system that identifies records by series, title, type, responsible individual, and physical location. Enables efficient retrieval of needed records under normal operating conditions and provides inventory of all archived records to allow for prioritization of record reconstitution if necessary.

### **5.3 File Backup**

5.3.1 Content Management: This program is run on two different platforms. The library server component is run on Linux and backed up using EMC Networker or VMware Data Recovery (VDR). These both take snapshots of the VM disk image and store them on the EMC Data Domain backup devices that exist in ASB and Durham (both are Iowa State University buildings). This process occurs daily.

The resource manager component is a common gateway interface (CGI) that runs on the DB2 mainframe. All mainframe disks are duplicated to another set of disks in Durham. In addition, logs containing Content Management information are copied to tapes hourly and a full image copy of the tables the logs are derived from are copied to tape once a week. In all cases where information is copied to tape, it is actually copied to two different tapes simultaneously; one of which is stored on-site, while the other is stored off-site.

5.3.2 Versatile Enterprise System and Team Drive: Records stored in both of these locations are backed up daily and stored in the Metals Development building. On a weekly basis the backup files are sent to Argonne National Laboratory in Lemont, IL and stored on their server.

## **5.4 Disposition of Vital Records**

Tier one vital records are maintained until they are superseded or replaced with more current versions. Superseded and replaced vital record copies are destroyed appropriately.

The disposition of Tier two vital records is governed by approved records retention schedules.

## **5.5 Records Management Training**

Ames Laboratory employees will be trained according to their level of involvement with records management.

# **6.0 VITAL RECORDS PROGRAM PLAN**

Each department within the laboratory will determine what records they will need to resume functioning after an emergency event. They will complete a Vital Records Inventory Sheet for their department, maintain those records and ensure their accessibility in the event of a disaster.

## **6.1 Active Vital Records**

All active files are stored within the appropriate office's electronic systems. These systems are backed up along with the university's file server.

## **6.2 Inactive Vital Records**

All inactive files are scanned into Content Management. After scanning, the physical files are stored in RHA.

## **6.3 Legacy Vital Records**

Legacy files are inactive employee records for individuals who resigned before 2011. These physical files are stored in RHA. At this time, RM staff is in the process of scanning files into Content Management; microfilm copies are used as backups until this process is complete. A copy of each microfilmed record is stored in the Training Office, while a second copy is stored in the Records Warehouse.

# **7.0 REFERENCES**

DOE O 243.2 *Vital Records*

DOE O 470.4 *Safeguards and Security Program*

DOE O 420.1B *Facility Safety*

NARA 36 CFR 1223

[Departmental Vital Records Inventory Sheet](#)